

02-11-02

PTO/SB/05 (08-00)

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1043 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Application Number

Not yet assigned

First Inventor

John M. Pezzuto

Title

PHARMACEUTICAL  
FORMULATIONS OF  
RESVERATROL  
(as amended herein)

Attorney Docket Number

7500-0004.10

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:  
Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- |  |   |
|--|---|
| <p><input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/><i>(Submit an original and a duplicate for fee processing)</i></p> <p><input type="checkbox"/> Applicant claims small entity status.<br/>See 37 CFR 1.27.</p> <p><input checked="" type="checkbox"/> Specification [<i>Total Pages 42</i>]<br/><i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table,<br/>or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (<i>if filed</i>)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [<i>Total Sheets 3</i>]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration [<i>Total Pages 4</i>]</p> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><i>(for continuation/divisional with Box 17 completed)</i></li> <li>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br/>Signed statement attached deleting inventor(s)<br/>named in the prior application, see 37 CFR<br/>1.63(d)(2) and 1.33(b).</li> </ul> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> <p>17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:</p> <p><input type="checkbox"/> Continuation      <input checked="" type="checkbox"/> Divisional      <input type="checkbox"/> Continuation-in-part (CIP)      of prior application No.: <u>09/430,337, filed October 29, 1999</u><br/>Prior application information:      Examiner: <u>Brian Yong S. Kwon</u>      Group / Art Unit: <u>1614</u><br/><input type="checkbox"/> This application claims priority to Provision Application Serial No. *, filed *.</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br/>Computer Program (<i>Appendix</i>)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission<br/><i>(if applicable)</i></p> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li> <li>b. Specification Sequence Listing on:           <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul> </li> <li>c. <input type="checkbox"/> Statements verifying identity of above copies</li> </ul> |
|--|---|

## ACCOMPANYING APPLICATION PARTS

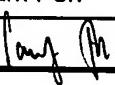
- 9.  Assignment Papers (cover sheet & document(s))
- 10.  37 CFR 3.73(b) Statement       Power of Attorney  
*(when there is an assignee)*
- 11.  English Translation Document (*if applicable*)
- 12.  Information Disclosure       Copies of IDS  
Statement (IDS)/PTO-1449      Citations
- 13.  Preliminary Amendment
- 14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
- 15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
- 16.  Other: Blanket Petition for Ext of Time and  
Authorization to Charge Deposit Account; Transmittal of  
Formal Drawings; Check for \$812.00

**F**or CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number of Bar Code Label     23980  (Insert Customer No. or Attach bar code label here)		<input type="checkbox"/> Correspondence address below		
Name	J. Elin Hartrum			
Address	REED & ASSOCIATES			
	800 Menlo Avenue, Suite 210			
City	Menlo Park	State	CA	Zip Code
Country	USA	Telephone	(650) 330-0900	Fax
Name (Print/Type)	J. Elin Hartrum	Registration No. (Attorney/Agent)	43,663	
Signature		Date	2/7/02	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commission for Patents, Box Patent Application, Washington, DC 20231.

<b>CERTIFICATE OF MAILING OR TRANSMISSION</b>			
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to "Commissioner for Patents, Box Patent Application, Washington, DC 20231."			
"Express Mail" Mailing Label No.	EL 910 311 302 US	Date of Deposit	February 7, 2002
Name of Person Mailing Paper or Fee(Print/Type)	Sam Pen		
Signature		Date	February 7, 2002

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(Modified) PTO/SB/05 (12/97)

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Date of Deposit: February 7, 2002

Type/Printed Name of Person Mailing Paper or Fee: Sam Pen

Signature of Person Mailing Paper or Fee: Sam Pen

## FEE TRANSMITTAL

*Note: Effective October 1, 1997.  
Patent fees are subject to annual revision.*

**TOTAL AMOUNT OF PAYMENT** (\$812)

### METHOD OF PAYMENT (check one)

1.  The commissioner is hereby authorized to charge any additional fees and credit any overpayments to:

Deposit Account No.: 18-0580

Deposit Account Name: REED & ASSOCIATES

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 — Charge the Issue Fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance

2.  Payment Enclosed:

Check  Money Order  Other

### FEE CALCULATION

#### 1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Fee Description	Fee Due
101	740	201	370	Utility filing fee \$740
102	330	206	165	Design filing fee
104	510	207	255	Plant filing fee
109	740	208	370	Reissue filing fee
110	150	214	75	Provisional filing fee
SUBTOTAL (1)				\$740

#### 2. CLAIMS

Total Claims	-	Independent Claims	-	Multiple Dependent Claims	Extra 4 - 20 =	below 0	Fee Due
							\$72

Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Fee Description	Fee Due
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent Claims in excess of 3
104	280	204	140	Multiple Dependent Claim
109	84	209	42	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of and over original patent
SUBTOTAL (2)				\$72

Complete if Known				
Application Number				Not Assigned Yet
Filing Date				Filed Herewith
First Named Inventor				John M. Pezzuto
Group Art Unit				Not Assigned Yet
Examiner Name				Not Assigned Yet
Attorney Docket Number				7500-0004.10

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Larg Fee Code	Entit y Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	180	Submissions of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)					
Other fee (specify)					
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)	\$

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name				Reg. Number	43,663
Signature	J. Elin Hartrum	Date	2/7/02	Deposit Account	18-0580

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Attorney Docket No. 7500-0004.10

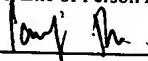
PATENT

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Date of Deposit: February 7, 2002

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Signature of Person Mailing Paper or Fee

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

John M. PEZZUTO et al.

Serial No.: Divisional of 09/430,337

Group Art Unit: Unassigned

Filing Date: Filed Herewith

Examiner: Unassigned

Title: PHARMACEUTICAL FORMULATIONS OF RESVERATROL (as amended herewith)

TRANSMITTAL OF FORMAL DRAWINGS

Commissioner for Patents  
Box Issue  
Attention: Official Draftsman  
Washington, DC 20231

Sir:

Enclosed are 3 sheets of formal drawings in connection with the above identified patent application.

The Commissioner is hereby authorized to charge any fees under 37 CFR §§ 1.16 and 1.17 which may be required by this paper, or to credit any overpayment, to Deposit Account No. 18-0580. **A duplicate copy of this sheet is enclosed.**

Respectfully submitted,

2/7/02

Date

By:   
J. Elin Hartrum  
Registration No. 43,663

REED & ASSOCIATES  
800 Menlo Avenue, Suite 210  
Menlo Park, California 94025  
(650) 330-0900 Telephone  
(650) 330-0980 Facsimile

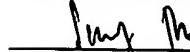
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Date of Deposit: February 7, 2002

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Printed Name of Person Mailing Paper or Fee



Signature of Person Mailing Paper or Fee

Attorney Docket No. 7500-0004.10

PATENT

J1917 U.S. PTO  
10/07/124  
02/07/02



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

John M. PEZZUTO et al.

Serial No.: Divisional of 09/430,337

Group Art Unit: Not Assigned

Filing Date: Filed Herewith

Examiner: Not Assigned

Title: PHARMACEUTICAL FORMULATIONS OF RESVERATROL (as amended herewith)

BLANKET PETITION FOR EXTENSION OF TIME AND  
AUTHORIZATION TO CHARGE OR CREDIT DEPOSIT ACCOUNT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

If a paper is untimely filed in this application or any continuation or divisional application derived therefrom by applicants or their representative, the Commissioner is hereby petitioned under 37 CFR § 1.136(a) for the minimum extension of time required to make said paper timely. In the event a petition for extension of time is made under the provisions of this paragraph, the Commissioner is hereby requested to charge any fee required under 37 CFR § 1.17(a)-(d) to Deposit Account No. 18-0580. This, however, is not authorization to pay the issue fee. A **duplicate copy of this sheet is attached.**

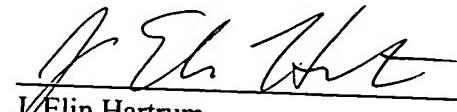
If a paper is concurrently or subsequently filed in this application or any continuation or divisional application derived therefrom by applicants or heir representative and a fee under 37

CFR §§ 1.16-1.17 is required to effect any amendment, petition or other action requested in said paper, the Commissioner is hereby requested to charge any deficiency in said fee, or credit any overpayment of said fee, to Deposit Account No. 18-0580. This, however, is not authorization to pay the issue fee.

Respectfully submitted,

2/7/02  
Date

By:

  
J. Elin Hartrum  
Registration No. 43,663

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